

JC498 U.S. PTO
12/21/01EV 010195505 US
12/21/200112-21-2001
U.S. Patent & TMO/TM Mail Rpt Dt. #70APPROVED
PTO DEPOSIT ACCOUNT CHARGE
ACCOUNT # 04-1/00
PTO/SB/05/11-00)
Approved for use through 10/31/2002. OMB 0751-0032
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
DUNLAP & CODDING, P.C.10971 U.S. PTO
10/033278
12/21/01UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 5820.617
First Inventor Richard Mallinson, et al.
Title APPARATUS FOR STREAM CONVERSIONS AND METHODS OF USE
Express Mail Label No. EV 010195505 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 66]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description - Redline Specification 57 pgs
- Clean Specification 57 pgs
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 12]
5. Oath or Declaration [Total Pages 5]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Copy of Notice to File Continuation Application.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/597,289

Prior application information: Examiner K. Mayekar Group Art Unit: 1741

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

| | | |
|--|---|---|
| <input type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here) | or <input checked="" type="checkbox"/> Correspondence address below |
| Name | Dunlap, Coddington & Rogers, P.C. | |
| Address | 9400 North Broadway, Suite 420 | |
| City | Oklahoma City | State OK Zip Code 73114 |
| Country | USA | Telephone (405) 478-5344 Fax (405) 478-5349 |
| Name (Print/Type) | Douglas J. Sorocco | Registration No. (Attorney/Agent) 43,145 |
| Signature | | Date 12/21/2001 |

SEND TO: Box Patent Application
Commissioner for Patents
Washington, D.C. 20231



APPROVED

12-21-2001

EV 010195505 US
12/21/2001

U.S. Patent & TMO/TM Mail Rpt Dt. #70

PTO DEPOSIT ACCOUNT CHARGE

ACCOUNT # 400-17-0

PTO/SB 17 (11-00)

0651-0032

Approved for use through 10/31/2002. OLS 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 640

Complete if Known

| | |
|----------------------|---------------------------|
| Application Number | Not Yet Assigned |
| Filing Date | Herewith |
| First Named Inventor | Richard Mallinson, et al. |
| Examiner Name | Not Yet Assigned |
| Group Art Unit | Unknown |
| Attorney Docket No. | 5820.617 |

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

04-1700

Deposit
Account
Name

Dunlap, Coddling & Rogers, P.C.

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 740 | 201 | 370 | Utility filing fee | 370 |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 70 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$ 370

2. EXTRA CLAIM FEES

| Total Claims | | Extra Claims | | Fee from below | Fee Paid |
|--------------|------|--------------|------|----------------|----------|
| | | | | | |
| 50 | - 20 | ** = 30 | X 9 | = 270 | |
| 3 | - 3 | ** = 0 | X 42 | = 0 | |
| | | | X | = 0 | |

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 270

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | Design issue fee | |
| 144 | 620 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

SUBMITTED BY

Name (Print/Type)

Douglas J. Sorocco

Registration No
(Attorney/Agent)

43,145

Complete (if applicable)

Telephone

(405) 478-5344

Signature

Date

12/21/2001

Box Patent Application
Commissioner for Patents

SEND TO: Washington, D.C. 20231

12/21/2001

| PATENT APPLICATION FEE DETERMINATION RECORD | | | | | Application or Docket Number 5820.617 | | |
|---|---|------------------------------------|---------------|-----------------------|--|---------|--|
| CLAIMS AS FILED - PART I | | | | | SMALL ENTITY OR OTHER THAN SMALL ENTITY | | |
| (Column 1) | | (Column 2) | | | | | |
| FOR | NUMBER FILED | NUMBER EXTRA | | | RATE | FEE | |
| BASIC FEE (37 CFR 1.16(a)) | | | | | | \$ 370 | |
| TOTAL CLAIMS (37 CFR 1.16(c)) | | 50 | minus 20 = | * 30 | x \$ 9 = | 270 | |
| INDEPENDENT CLAIMS (37 CFR 1.16(b)) | | 3 | minus 3 = | * 0 | x 42 = | 0 | |
| MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d)) | | | | | + | 140 = 0 | |
| | | | | | TOTAL | 640 | |
| | | | | | OR | TOTAL 0 | |
| * If the difference in column 1 is less than zero, enter "0" in column 2 | | | | | | | |
| CLAIMS AS AMENDED - PART II | | | | | SMALL ENTITY OR OTHER THAN SMALL ENTITY | | |
| (Column 1) | | (Column 2) | | (Column 3) | | | |
| AMENDMENT A | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | | | |
| | Total (37 CFR 1.16(c)) | * | Minus | ** 20 | = 0 | | |
| | Independent (37 CFR 1.16(b)) | * | Minus | *** 3 | = 0 | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d)) | | | | | | |
| | | | | | | | |
| | | | | TOTAL ADDIT. FEE 0 | | | |
| | | | | OR TOTAL ADDIT. FEE 0 | | | |
| AMENDMENT B | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | | | |
| | Total (37 CFR 1.16(c)) | * | Minus | ** | = | | |
| | Independent (37 CFR 1.16(b)) | * | Minus | *** | = | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d)) | | | | | | |
| | | | | | | | |
| | | | | TOTAL ADDIT. FEE 0 | | | |
| | | | | OR TOTAL ADDIT. FEE 0 | | | |
| AMENDMENT C | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | | | | |
| | Total (37 CFR 1.16(c)) | * | Minus | ** | = | | |
| | Independent (37 CFR 1.16(b)) | * | Minus | *** | = | | |
| | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d)) | | | | | | |
| | | | | | | | |
| | | | | TOTAL ADDIT. FEE 0 | | | |
| | | | | OR TOTAL ADDIT. FEE 0 | | | |
| * If the entry in column 1 is less than the entry in column 2, write "0" in column 3. ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20". *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3". The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1. | | | | | | | |

SEND TO: Box Fee Application
 Commissioner For Patents
 Washington, DC 20231

Express Mail No. EV 010195482 US
Date Deposited 12/21/2001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Richard G. Mallinson, et al.

Serial No.: 09/597,289

Group No.: 1741

Filed: June 20, 2000

Examiner: K. Mayekar

For: APPARATUS FOR STREAM
CONVERSION AND METHODS
OF USE

Atty. Dkt. No. 5820.568

Commissioner for Patents
Washington, D. C. 20231

**NOTIFICATION OF FILING OF CONTINUING
OR DIVISIONAL APPLICATION**

Notification is hereby being made of the filing of a:

☒ continuation

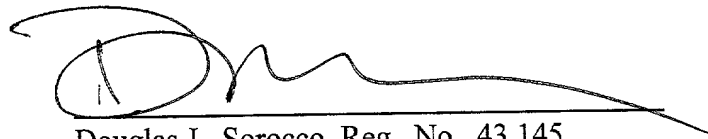
☐ continuation-in-part

☐ divisional

application for this case

☐ concurrently herewith

☒ on 12/21/2001
(date)



Douglas J. Sorocco, Reg. No. 43,145
DUNLAP, CODDING & ROGERS, P.C.
9400 North Broadway, Suite 420
Oklahoma City, Oklahoma 73114
(405) 478-5344 - telephone
(405) 478-5349 - telefax

Attorney for Applicant(s)